

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>Housing Authority of the City of Trenton</u> PHA Code: <u>NJ005</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: <u>(01/2012)</u>												
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>1832</u> Number of HCV units: <u>0</u>												
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only												
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)												
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program <table border="1"> <tr> <th>PH</th> <th>HCV</th> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	PH	HCV						
PH	HCV												
	PHA 1:												
	PHA 2:												
	PHA 3:												
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.												
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: <i>The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.</i>												

5.2	<p>Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p>PHA Goals:</p> <ul style="list-style-type: none"> • <i>Expand the supply of assisted housing: The THA will increase the availability of decent, safe and affordable housing by:</i> <ul style="list-style-type: none"> ○ <i>Applying for 9% tax credits to complete modernization at Page Homes and Frazier Courts;</i> ○ <i>Review the possibility of converting the two buildings at Frazier Courts in onto Voucher based units.</i> ○ <i>Create additional housing opportunities through leveraging replacement housing funds for Miller Homes to increase inventory via the THA being awarded a FY 09 HOPE VI funding for Miller Homes development;</i> ○ <i>Leverage RHF dollars and HOPE VI funding to acquire and develop scattered site housing throughout the City of Trenton;</i> ○ <i>Acquire additional leveraging dollars by applying for a Choice Neighborhoods Grant and/ or Planning Grant in FY 12 to acquire and rehab foreclosed property in the City of Trenton. Specific area of focus will be the Page Homes site. New properties will be managed by Trenton Housing Authority.</i> • <i>Improve the quality of assisted housing: The THA will improve the quality of assisted housing by improving the public housing management score over the next two years;</i> <ul style="list-style-type: none"> ○ <i>Improving the quality and timeliness of maintenance repairs through implementation of an effective and efficient maintenance supply system;</i> ○ <i>Improve tracking of timely work order completion and follow-up inspections of completed maintenance repairs;</i> ○ <i>THA was awarded High Performance status predicated upon 2009 and 2010 PHAS scores.</i> • <i>Provide an improved living environment:</i> <ul style="list-style-type: none"> ○ <i>Continue to update the comprehensive camera system at all facilities to ensure we meet our goals of safe housing;</i> ○ <i>In addition, add to the number of keyless entry pads and "A" phones incorporated into all buildings with three story walk-ups; This will permit tenants to see visitors before allowing them access</i> ○ <i>Improve preventive and routine maintenance with a new management programs;</i> ○ <i>Implementation of the THA Phase I Energy Performance Contract was so successful the THA has engineered and has been successfully approved by HUD for a Phase II that will involve new HVAC in the Senior Buildings, various other heating plant improvements THA wide.</i> • <i>To Promote self-sufficiency and asset development of families and individuals:</i> <ul style="list-style-type: none"> ○ <i>THA will apply for related grants to obtain additional staff support (eg ROSS);</i> ○ <i>Homeownership training, provided through the CSS component of the HOPE VI award.</i> ○ <i>Green jobs training initiative</i> ○ <i>Literacy training.</i> ○ <i>Work through the agreement with the Local Trade Unions to place qualified Sec 3 individuals into apprentice programs.</i> ○ <i>Promote Home ownership to those tenants whose incomes will support the purchase and help to repair damaged credit through the HOPE VI Home Ownership Program.</i> • <i>To ensure equal opportunity in Housing for all Americans:</i> <ul style="list-style-type: none"> ○ <i>THA will undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability;</i> ○ <i>Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required.</i>
	<div style="display: flex; justify-content: space-between;"> Page 2 of 2 form HUD-50075 (4/2008) </div>

PHA Plan Update

- (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:
- (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.

a) The following elements have been revised by the THA since its last annual plan submission:

Financial Resources: (SEE ATTACHMENT A)

Safety and Crime Prevention: *The need is predicated upon the High incidence of violent and/or drug-related crime in some or all of the PHA's developments and High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments. Residents are fearful for their safety and/or the safety of their children. People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime*

To combat the above, the THA has provided an integrated security system including cameras, televised entry access for tenants to "buzz" in guests, key fobs to allow only authorized access to buildings and common areas like laundry room. This is all monitored by a manned 24 X 7 Security Command Center where residents can call in problems. In addition, the THA has its own Employment of Security Guards and has Contracted Security Guards for 24 X 7 at all Senior buildings. Coordination with precincts includes Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plans as well as involvement in the location of cameras. Police provide crime data to housing authority staff for analysis and action and Police regularly meet with the THA management and residents. There is an Agreement between THA and local law enforcement agency for provision of above-baseline law enforcement services along with the Coordination of sharing video links from THA 24x7 Security Command Center to the Police Command Center for high crime areas. Monthly meetings with Senior police department and THA leaders are ongoing to reduce crime and prevent drug related activities. A hot line is to be established between the THA and the police to combat problems and THA is coordinating with local officers to share video feeds to the patrol cars for "virtual tours" of the developments.

Fiscal Year Audit: (SEE ATTACHMENTS B)

Asset Management: *THA has maintained a successful asset management program, which includes Development-based accounting and budget reporting against that model. THA coordinates comprehensive stock assessment and asset based budgeting and reporting seminars held by outside fee accountants for managers and Assistant managers. Monthly budget updates for the Managers by AMP to track spending activities. Implementation of daily on-line reporting of site-based metrics to measure against HUD criteria to enable immediate resolution or redirecting of problem areas.*

Violence Against Woman Act (VAWA): (SEE ATTACHMENT C)

- b) The Plan can be obtained at the main administrative office of the PHA and the PHA development management offices. The THA launched a revised web site in 2011 is revamping the web site and the Annual and 5 year plan is posted there. In addition, the THA reviews the plan with the presidents of the Resident Councils and incorporates suggestions.*

6.0

	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p>A. <i>THA received a 2009 HOPE VI Revitalization Grant for the Carl Miller Homes Neighborhood Redevelopment . The Carl Miller Homes Revitalization Plan has been approved by HUD; the site is currently being demolished. Additionally, THA is currently working with its Program Manager and Master Developer to effectuate a Mixed Finance Closing with HUD in the fall of 2011. In addition to HUD HOPE VI funds, other sources of financing in the deal are anticipated to include equity received from the sale of Low Income Housing Tax Credits and Urban Transit Hub Tax Credits awarded from the NJHMFA and NJEDA, respectively. The THA is working in cooperation with its Program Manager and Developer to make application to the appropriate state agencies mentioned above for said tax credits in the fall of 2011.</i></p> <p>B. <i>The THA has received approval for the disposition of its former Central Warehouse facility at 220 Southard Street. The THA solicited sealed bids for the facility in the early summer of 2011, but received no responses. The THA plans to hold a public auction for the sale of the building in the fall of 2011. Proceeds will be used to redesign THA's Central Office to include space for early childhood education and child daycare programs.</i></p> <p>C. <i>The THA is currently pursuing a myriad of options for the rehabilitation/revitalization of 159 units at Page Homes (AMP 3) and 30 units at Frazier Court (AMP 1) (previously Campbell Homes). These options may include: (1) Mixed Finance Modernization via application to the NJHMFA for the award of Low Income Housing Tax Credits; (2) Total revitalization via application for funding under any state or federal housing revitalization grant program, including, but not limited to CHOICE, HOPE VI, FHLB-AHP, NJHMFA LIHTC, etc . ; (3) Voluntary Conversion of the units including conversion to Project-based Vouchers if feasible; (4) Demolition and/or Disposition of the units if the THA is unable to obtain sufficient funding. Additionally, demolition and/or disposition may be included in any of the options listed above.</i></p> <p><i>* In addition to the items listed above, the THA plans to pursue the establishment of a Tenant Based Housing Choice Voucher program.</i></p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.</p> <p>SEE ATTACHMENTS: <i>form HUD 50075.1</i></p>
8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.</p> <p>SEE ATTACHMENTS: <i>form HUD 50075.2</i></p>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input checked="" type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>

9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>SEE ATTACHMENTS D</p>
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9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>Strategy:</p> <ul style="list-style-type: none"> • <i>To maximize the number of affordable units available to the PHA within its current resources by: <ul style="list-style-type: none"> ○ <i>Employing effective maintenance and management policies to minimize the number of public housing units off-line;</i> ○ <i>Reduce turnover time for vacated public housing units;</i> ○ <i>Reduce time to renovate public housing units;</i> ○ <i>Seek replacement of public housing units lost to the inventory through mixed finance development;</i> ○ <i>Undertake measures to ensure access to affordable housing among families assisted by the PHA;</i> ○ <i>Participate in the Consolidated Plan development process to ensure coordination with broader community strategies.</i> ○ <i>To assist those tenants capable of homeownership to do so and then to make their units available for new tenants off the current wait list.</i> </i> • <i>To increase the number of affordable housing units by leveraging affordable housing resources in the community through the creation of mixed – financed housing and pursue housing resources other than public housing or section 8 tenant-based assistance.</i> • <i>Target available assistance to families at or below 30% of AMI by adopting rent policies to support and encourage work.</i> • <i>Target available assistance to families at or below 50% AMI by employing admissions preferences aimed at families who are working and adopt rent policies to support and encourage work.</i> • <i>Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs by affirmatively market to races/ethnicities shown to have disproportionate housing needs.</i>
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10. 0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5- Year Plan.</p> <p><i>THA continues to move forward toward stated goals in last years plan and is consistently pursuing many of the same goals in this years plan.</i></p> <ul style="list-style-type: none"> • <i>Two of the financially significant goals are applying for housing tax credits and the THA has a 4% tax credit as well having been awarded a Hope VI grant. THA actually did apply for a 9% tax credit in May of 2010 and will re-apply, as funds are available in 2011. Both of which are related to the recent HOPE VI award.</i> • <i>Where security factors are a concern in typical public housing properties, The THA has moved toward that stated goal by installing security cameras at all of its sites, including the ability to pan and zoom. In addition, the THA established a command center in its administrative building and is currently working toward a partnership with the Trenton Police Department.</i> • <i>To the end of promoting self-sufficiency, the THA has partnered with a number of local social organizations to bring in homeownership opportunities, green jobs training as well as literacy training. Also the THA will use outreach groups like Catholic Charities to meet with residents making over \$50,000 and help them to gain home ownership.</i> • <i>The THA completed its Phase I Energy Conservation Program ahead of schedule and will implement the Phase II in 2011.</i> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p>SEE ATTACHMENT E</p>
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11. 0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>SEE ATTACHMENT F</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: **(i)** A description of the need for measures to ensure the safety of public housing residents; **(ii)** A description of any crime prevention activities conducted or to be conducted by the PHA; and **(iii)** A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.

10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.

11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.

12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.

13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

(a) Hope VI or Mixed Finance Modernization or Development.

1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>

(b) Demolition and/or Disposition.

With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at:

http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm

Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.

(c) Conversion of Public Housing.

With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

(d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.

(e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 **Capital Improvements.** This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report.

PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- 1. At the end of the program year; until the program is completed or all funds are expended;
- 2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- 3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 **Capital Fund Financing Program (CFFP).** Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:
<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name: Trenton Housing Authority		Grant Type and Number Capital Fund Program Grant No: NJ39P005501-12 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant: 2012 FFY of Grant Approval: 2012
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	500,000			
3	1408 Management Improvements	380,661			
4	1410 Administration (may not exceed 10% of line 21)	280,423			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	120,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	20,000			
10	1460 Dwelling Structures	446,638.92			
11	1465.1 Dwelling Equipment—Nonexpendable	5,000			
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment	64,825			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary					
PHA Name: Trenton Housing Authority		Grant Type and Number Capital Fund Program Grant No: NJ39P005501-12 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant: 2012 FFY of Grant Approval: 2012	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment	986,775.08			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	2,804,323			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: TRENTON HOUSING AUTHORITY		Grant Type and Number Capital Fund Program Grant No: NJ39P005501-12 CFFP (Yes/ No): YES Replacement Housing Factor Grant No: N/A			Federal FFY of Grant: 2012			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Lincoln/Prospect/Frazier (NJ005000001P)	Unit Renovations	1460		25,000				
	Bond Debt Service	9000		728,989				
	A&E Cost	1430		15,000				
	Emergency Repairs	1460		20,000				
	Boiler Repairs/Replacement	1465		5,000				
	TOTAL COMMUNITY			793,989				
Donnelly/Page (NJ005000003P)	A&E Cost	1430		20,000				
	Concrete/Blacktop	1450		10,000				
	Unit Renovations	1460		102,580.92				
	Maintenance Equipment	1475		29,825				
	Bond Debt Service	9000		79,319.08				
	TOTAL COMMUNITY			241,725				
Wilson/Haverstick (NJ005000002P)	A&E Cost	1430		60,000				
	Concrete Blacktop	1450		10,000				
	Unit Renovations	1460		144,058				
	Emergency Repairs	1460		50,000				
	Bond Debt Service	9000		128,893				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part II: Supporting Pages								
PHA Name: TRENTON HOUSING AUTHORITY		Grant Type and Number Capital Fund Program Grant No: NJ39P005501-12 CFFP (Yes/ No): YES Replacement Housing Factor Grant No: N/A			Federal FFY of Grant: 2012			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Wilson/Haverstick Cont'd	Maintenance Equipment	1475		25,000				
(NJ005000002P)	TOTAL COMMUNITY			417,951				
Abbott/Josephson/French	A&E Cost	1430		25,000				
(NJ005000004P)	Unit Renovations	1460		80,000				
	Emergency Repairs	1460		25,000				
	Ranges & Refrigerator	1475		10,000				
	Bond Debt Service	9000		49,574				
	TOTAL COMMUNITY			189,574				
PHA-Wide	Operations	1406		500,000				
	Management Improvements	1408		380,661				
	Administration	1410		280,423				
	TOTAL PHA-Wide			1,161,084				
	TOTAL GRANT			2,804,423				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

[illegible]

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

[illegible]

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/20011

Part I: Summary						
PHA Trenton Housing Authority – NJ005			Locality (Trenton, Mercer NJ)		<input checked="" type="checkbox"/> Original 5-Year Plan	<input type="checkbox"/> Revision No:
A.	Development Number and Name	Work Statement for Year 1 FFY <u>2012</u>	Work Statement for Year 2 FFY <u>2013</u>	Work Statement for Year 3 FFY <u>2014</u>	Work Statement for Year 4 FFY <u>2015</u>	Work Statement for Year 5 FFY <u>2016</u>
B.	Physical Improvements Subtotal	Annual Statement	398,766.42	408,161.44	380,721.91	409,543.30
C.	Management Improvements		380,661.00	380,661.00	380,661.00	380,661.00
D.	PHA-Wide Non-dwelling Structures and Equipment		54,825.00	50,000.00	75,000.00	50,000.00
E.	Administration		280,423.00	280,423.00	280,423.00	280,423.00
F.	Other – Fees & Cost		200,000.00	200,000.00	200,000.00	200,000.00
G.	Operations		500,000.00	500,000.00	500,000.00	500,000.00
H.	Demolition					
I.	Development					
J.	Capital Fund Financing – Debt Service		989,647.58	985,077.56	987,517.09	983,695.70
K.	Total CFP Funds					
L.	Total Non-CFP Funds					
M.	Grand Total		2,804,323.00	2,804,323.00	2,804,323.00	2,804,323.00

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/20011

Part I: Summary (Continuation)						
PHA Trenton Housing Authority – NJ005			Locality (Trenton, Mercer NJ)		<input checked="" type="checkbox"/> Original 5-Year Plan	<input type="checkbox"/> Revision No:
A.	Development Number and Name	Work Statement for Year 1 FFY <u>2012</u>	Work Statement for Year 2 FFY <u>2013</u>	Work Statement for Year 3 FFY <u>2014</u>	Work Statement for Year 4 FFY <u>2015</u>	Work Statement for Year 5 FFY <u>2016</u>
		Annual Statement				
	Lincoln Homes		20,000	20,000	15,000	20,000
	Donnelly Homes		139,427	149,489	85,334	79,420
	Prospect Village		283,924	282,844	283,420	282,517
	Frazier Courts		497,187	494,891	496,117	494,197
	Page Homes		59,656	54,694	79,767	89,652
	Wilson Homes		197,467	124,489	159,911	163,963
	Haverstick Homes		135,860	135,491	129,379	99,071
	Josephson Apts		39,944	59,898	59,923	79,884
	Abbott Apts		49,887	101,647	69,844	39,767
	French Towers		19,887	19,795	64,544	94,768
	PHA-Wide Operations		500,000	500,000	500,000	500,000
	PHA Wide Management		380,661	380,661	380,661	380,661
	PHA-Wide Administration		280,423	280,423	280,423	280,423
	PHA-Wide Fees & Cost		200,000	200,000	200,000	200,000
	TOTAL		2,804,323	2,804,323	2,804,323	2,804,323

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/20011

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 2013 FFY 2013			Work Statement for Year: 2014 FFY 2014		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	<i>Lincoln/Prospect/Frazier NJ005000001P</i>			<i>Lincoln/Prospect/Frazier NJ005000001P</i>		
Annual	A&E Services		30,000	A&E Services		30,000
Statement	Unit Renovations		50,000	Unit Renovations		50,000
	Emergency Repairs		20,000	Emergency Repairs		20,000
	Bond Debt Service		731,111	Bond Debt Service		727,735
	<i>Donnelly/ Page NJ005000003P</i>			<i>Donnelly/ Page NJ005000003P</i>		
	A&E Services		60,000	A&E Services		60,000
	Unit Renovations		40,000	Unit Renovations		50,000
	Concrete/Blacktop		49,708	Concrete/Blacktop		50,000
	Maintenance Equipment		29,825	Maintenance Equipment		25,000
	Bond Debt Service		79,550	Bond Debt Service		79,183
	<i>Wilson / Haverstick NJ005000002P</i>			<i>Wilson / Haverstick NJ005000002P</i>		
	A&E Services		60,000	A&E Services		60,000
	Sanitary Lines/Emergency Repairs		72,748	Unit Renovations		50,000
	Concrete /Blacktop		56,310	Concrete /Blacktop		56,309
	Maintenance Equipment		25,000	Maintenance Equipment		25,000
	Bond Debt Service		129,268	Bond Debt Service		128,671
	Unit Renovations		50,000			
	<i>Abbott/Josephson/French NJ005000004P</i>			<i>Abbott/Josephson/French NJ005000004P</i>		
	A&E Services/Unit Renovations		110,000	A&E Services/Unit Renovations		181,852
	Bond Debt Service		49,719	Bond Debt Service		49,489
	<i>PHA WIDE</i>			<i>PHA WIDE-Administration</i>		
	Operations		500,000	Operations		500,000
	Central Office Admin Fee		280,423	Central Office Admin Fee		280,423
	Subtotal of Estimated Cost		\$2,423,662.00	Subtotal of Estimated Cost		\$2,423,662.00

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY <u>2012</u>	Work Statement for Year <u>2015</u> FFY <u>2015</u>			Work Statement for Year: <u>2016</u> FFY <u>2016</u>		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	<i>Lincoln/Prospect/Frazier NJ005000001P</i>			<i>Lincoln/Prospect/Frazier NJ005000001P</i>		
Annual	A&E Services		30,000	A&E Services		30,000
Statement	Unit Renovations		50,000	Unit Renovations		50,000
	Emergency Repairs		15,000	Emergency Repairs		20,000
	Bond Debt Service		729,537	Bond Debt Service		726,714
	<i>Donnelly/ Page NJ005000003P</i>			<i>Donnelly/ Page NJ005000003P</i>		
	A&E Services		60,000	A&E Services		60,000
	Unit Renovations		35,723	Unit Renovations		30,000
	Emergency Repairs		25,000	Emergency Repairs		50,000
	Maintenance Equipment		25,000	Ranges & Refrigerators		10,000
	Bond Debt Service		79,378	Bond Debt Service		79,072
	<i>Wilson / Haverstick NJ005000002P</i>			<i>Wilson / Haverstick NJ005000002P</i>		
	A&E Services		60,000	A&E Services		60,000
	Unit Renovations/Emergency Repairs		135,300	Unit Renovations/Emergency Repairs		109,543
	Maintenance Equipment		25,000	Maintenance Equipment		25,000
	Bond Debt Service		128,990	Bond Debt Service		128,491
	<i>Abbott/Josephson/French NJ005000004P</i>			<i>Abbott/Josephson/French NJ005000004P</i>		
	Maintenance Equipment		25,000	Maintenance Equipment & Boiler Repairs/Replacement		75,000
	A&E Services/Unit Renovations		169,700	A&E Services/Unit Renovations		140,000
	Bond Debt Service		49,611	Bond Debt Service		49,419
	<i>PHA WIDE</i>			<i>PHA WIDE</i>		
	Operations		500,000	Operations		500,000
	Central Office Admin Fee		280,423	Central Office Admin Fee		280,423
	Subtotal of Estimated Cost		\$2,423,662.00	Subtotal of Estimated Cost		\$2,423,662.00

Part III: Supporting Pages – Management Needs Work Statement(s)				
Work Statement for Year 1 FFY 2012	Work Statement for Year <u>2013</u> FFY <u>2013</u>		Work Statement for Year: <u>2014</u> FFY <u>2014</u>	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See	<i>Abbott/Josephson/French - NJ005000004P</i>		<i>Abbott/Josephson/French - NJ005000004P</i>	
Annual	Contracted Security	380,661	Contracted Security	380,661
Statement				
	Subtotal of Estimated Cost	\$380,661.00	Subtotal of Estimated Cost	\$380,661.00

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Part III: Supporting Pages – Management Needs Work Statement(s)				
Work Statement for Year 1 FFY 2012	Work Statement for Year <u>2015</u> FFY 2015		Work Statement for Year: <u>2016</u> FFY 2016	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See	<i>Abbott/Josephson/French - NJ005000004P</i>		<i>Abbott/Josephson/French - NJ005000004P</i>	
Annual	Contracted Security	380,661	Contracted Security	380,661
Statement				
	Subtotal of Estimated Cost	\$380,661	Subtotal of Estimated Cost	\$380,661

6.0
ATTACHMENT A
FINANCIAL RESOURCES

Trenton Housing Authority
FY Ending 2012 Projection
2012-2016 Annual Plan Submission package

<u>Sources Planned</u>	<u>2011</u>	<u>2012</u>	<u>Planned Uses</u>
1. Federal Grants (CY 2011 grants)			
a) Public Housing Operating Fund - 95%	9,331,494	9,331,494	Daily operations including salaries, contracts, insurance, materials, benefits etc.
b) Public Housing Capital Fund	2,084,323	2,084,323	security camera system, bond debt payment, roof repairs, contracted security for senior sites, emergency repairs, etc (see 5 year plan)
c) HOPE VI Revitalization	18,901,966	17,279,974	Miller Homes Hope VI Grant
d) HOPE VI Demolition	3,098,034	4,720,026	Miller Homes Hope VI Grant
e) Annual Contributions for Section 8			
f) Resident Opportunity and Self-Sufficiency			
g) Community Development Block Grant			
h) HOME			
i) Other Federal Grants (list below)			
j) Disaster Housing Assistance Program			
2. Prior Year Federal Grants (unobligated funds only) list below			
2010 Capital Fund		107,031	
2011 Capital Fund		1,186	
3. Public Housing Dwelling Rental Income	5,017,822	5,017,822	Daily operations including salaries, contracts, insurance, materials, benefits etc.
4. Other income (list below)			
5. Non-federal sources (list below)			
Work First Program	100,000	100,000	Support resident programs and other efforts
Total resources	<u>38,533,639</u>	<u>38,641,856</u>	

6.0
ATTACHMENT B

THE HOUSING AUTHORITY OF THE CITY OF
TRENTON, NEW JERSEY

REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE
AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED
IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

Board of Commissioners
The Housing Authority of the City of Trenton
Trenton, New Jersey

We have audited the financial statements of the business-type activities of the Authority as of and for the year ended December 31, 2010, which collectively comprise the Authority's basic financial statements and have issued our report thereon dated May 5, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the Authority's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control over financial reporting.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the Authority's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in the internal control that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

6.0
ATTACHMENT B

This report is intended solely for the information of the Board of Commissioners, management and federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Birmingham, Alabama
May 5, 2011

Yeager & Boyd

6.0 ATTACHMENT C

Violence Against Women Act (VAWA)

Violence Against Women Act (VAWA) requires PHAs to describe any goals, objectives, policies or programs that enable the PHA to serve the needs of child and adult victims of domestic violence, dating violence, sexual assault or stalking. The THA supports the goals and objectives of VAWA and will comply with its requirements

- THA Safety Staff will respond immediately to all reports of domestic violence and immediately notify Police, Public Housing Managers and Resident Services of such acts of violence and request appropriate protections and services.
- The THA will act quickly to remove the violent offender/domestic violence perpetrator from THA property through arrest, trespass warning, or eviction and use all legal methods, to prevent the offender from future acts of violence toward their victim and other public housing residents
- The THA has completed a full review and revision of its Public Housing Admissions and Continued Occupancy Policy (ACOP) and Public Housing Lease No perspective tenant that is the victim of domestic violence will be denied housing or no tenant will be evicted for same.
- The THA Public Housing Lease is being reviewed by staff and tenant legal counsel to the THA to properly amend the Lease and ACOP so as to strengthen the legal avenues available to the tenant and the THA in cases of domestic violence. The anticipated date for enactment is the first quarter of 2010. Language similar to the following will be considered as part of the review.

- The Landlord enforces the Lease in accordance with the Violence Against Women Reauthorization Act of 2005 (VAWA), which gives THA the explicit authority to bifurcate a lease, or to remove a household member from a lease, "in order to evict, remove, terminate occupancy rights, or terminate assistance to any individual who is a tenant or lawful occupant and who engages in criminal acts of physical violence against family members or others, without evicting, removing, terminating assistance to, or otherwise penalizing the victim of such violence who is also a tenant or lawful occupant." The Landlord will pursue all such terminations in accordance with the policies outlined in the ACOP, and as prescribed by HUD. The Resident agrees to abide by the VAWA policies
- The Managerial staff has been trained in 2010 to recognize the signs of women in violent situations.
 - Staff training conducted by a recognized professional in the area of Domestic Violence has been done quarterly throughout 2010.
 - Continue to update a list of domestic violence service providers statewide to provide referrals to aid applicant or resident victims
- The THA has entered into agreements with other local PHAs in New Jersey to assist transfers for women that have been involved in violent situations
- The TAH has met with the local Prosecutors Office to assist with the training of staff on the laws governing domestic violence.

9.0
ATTACHMENT D
Housing Needs

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall 14,261	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	11,266	5	5	4	3	2	5
Income >30% but <=50% of AMI	8,842	5	5	4	3	2	4
Income >50% but <80% of AMI	3,565	4	4	3	3	2	4
Elderly	1,800	2	2	2	3	1	2
Families with Disabilities	2,700	3	4	3	3	2	3
Black	7,429*	4	4	4	3	2	5
White							
Hispanic	3,066*	4	4	4	3	2	5
Other	200*	3	3	3	2	2	2

**** Represents total households at or below 80% AMI. Approximately 36% (6,289) of the aggregate total of those households are considered to have housing needs (based on the expenditure of over 30% of income on housing needs).***

The Consolidated Plan of the Jurisdiction was the source of information the PHA use to conduct this analysis.)

9.0
ATTACHMENT D (cont.)
Housing Needs

**B. Housing Needs of Families on the Public Housing and Section 8
Tenant- Based Assistance Waiting Lists**

Housing Needs of Families on the Waiting List			
Public Housing only			
	# of families	% of total families	Annual Turnover
Waiting list total	2684	100%	71
Extremely low income <=30% AMI	2459	91%	
Very low income (>30% but <=50% AMI)	193	8%	
Low income (>50% but <80% AMI)	32	1%	
Families with children	2490	93%	
Elderly families	21	1%	
Families with Disabilities	173	13%	
Black	2444	91%	
White	21	1%	
Hispanic	206	7%	
Other	13	1%	
Characteristics by Bedroom Size (Public Housing Only)			
0BR	197	7%	
1BR	1096	42%	
2 BR	730	27%	
3 BR	557	21%	
4 BR	104	3%	
5 BR	2	0%	
5+ BR	0	0%	

10.0 ATTACHMENT E

Definitions

Trenton Housing Authority

Significant Amendment and Substantial Deviation/Modification to the PHA Annual Plan

The Trenton Housing Authority defines the significant amendment and substantial deviation/modification to the PHA Annual Plan as follows:

- Changes to rent or admissions policies or organization of the waiting list;
- Changes to the Public Housing Admissions and Continued Occupancy Policy;
- Changes to the Section 8 Housing Choice Voucher Program Administrative Plan;
- Additions of non-emergency work items (items not included in the current Annual Statement or Five-year Action Plan) or change in the use of replacement reserve funds under the Capital Fund; and
- Any change with regard to demolition or disposition, designation, homeownership programs or conversion activities.

Requirements for Significant Amendments to the PHA Plan

Any significant amendment or substantial deviation/modification to a PHA Plan is subject to the same requirements as the original PHA Plan (including time frames). Following are the requirements:

- The PHA must consult with the Resident Advisory Board (RAB) (as defined in 24 CFR 903.13);
- The PHA must ensure consistency with the Consolidated Plan of the jurisdiction(s) (as defined in 24 CFR 903.15); and
- The PHA must provide for a review of the amendments/modifications by the public during a 45-day public review period (as defined in 24 CFR 903.17).
- The PHA may not adopt the amendment or modification until the PHA has duly called a meeting of its Board of Directors (or similar governing body). This meeting, at which the amendment or modification is adopted, must be open to the public.
- The PHA may not implement the amendment or modification until notification of the amendment or modification is provided to HUD and approved by HUD in accordance with HUD's plan review procedures (as defined at 24 CFR 903.23).



Herbert T. Brown
Executive Director

11.0 ATTACHMENT F

On Tuesday September 27, 2011 senior management of the Trenton Housing Authority met with the Presidents and representatives of the various Resident Advisory Boards (RAB) representing the residents of the Housing Authority. They were given copies of the Annual and 5 Year plan and we advised as to how the Housing Authority approached the planning for the utilization of the anticipated funding. In addition, the various programs and initiatives of the Housing Authority were discussed.

Upon conclusion of the meeting, the representatives were pleased with the direction the Housing Authority was headed and offered no additional comments or suggestions.

The members in attendance at the Public Meeting held on September 30, 2011 did not have any comments regarding the Plan.

Herbert T. Brown
Executive Director

Certification for a Drug-Free Workplace

U.S. Department of Housing
and Urban Development

Applicant Name

Housing Authority of the City of Trenton

Program/Activity Receiving Federal Grant Funding

Capital Fund Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Herbert T. Brown

Title

Executive Director

Signature

Date

October 12, 2011

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: 4c			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Housing Authority of the City of Trenton 875 New Willow Street Trenton, New Jersey 08638 Congressional District, if known: 4c		
6. Federal Department/Agency: US Department of Housing & Urban Development			7. Federal Program Name/Description: CFDA Number, if applicable: _____		
8. Federal Action Number, if known:			9. Award Amount, if known: \$		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature:  Print Name: <u>Herbert T. Brown</u> Title: <u>Executive Director</u> Telephone No.: <u>609-278-5026</u> Date: <u>10/12/2011</u>		
Federal Use Only:					Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Civil Rights Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Civil Rights Certification**Annual Certification and Board Resolution**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

Housing Authority of the City of Trenton

NJ005

PHA Name

PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Herbert T. Brown

Title

Executive Director

Signature



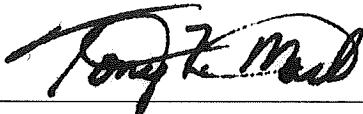
Date 10/12/2011

**Certification by State or Local
Official of PHA Plans Consistency
with the Consolidated Plan**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

**Certification by State or Local Official of PHA Plans Consistency with the
Consolidated Plan**

I, Tony F. Mack the Mayor of the City of Trenton certify that the Five Year and
Annual PHA Plan of the Housing Authority of the City of Trenton is consistent with the Consolidated Plan of
Trenton, New Jersey prepared pursuant to 24 CFR Part 91.

10/14/11 
Signed / Dated by Appropriate State or Local Official

RESOLUTION 11-51

WHEREAS, the Housing Authority of the City of Trenton is required to submit a 5-year and Annual Plan in accordance with Section 511 of the Quality Housing and Work Responsibility Act of 1998 (QHWRA); and

WHEREAS, the Housing Authority of the City of Trenton conducted a public hearing on September 30, 2011 in the development of that plan; and

WHEREAS, the Housing Authority of the City of Trenton has established a Resident Advisory Board, the membership of which represents the residents assisted by the Housing Authority of the City of Trenton, consulted with this Board in developing the Plan, and considered the recommendations of the Board in the Plan;

WHEREAS, the Plan is consistent with the Consolidated (Housing) Plan of the City of Trenton; and

WHEREAS, the Capital Funding request for Fiscal Year (FY) 2012 and the 5-Year Capital Funding plan (FY 2012-2016) are included in the Plan submission; and

WHEREAS, the Plan meets all of the certification requirements of the U.S. Department of Housing and Urban Development,

NOW THEREFORE BE IT RESOLVED, that the Board of Commissioners of the Housing Authority of the City of Trenton approves the 5-year and Annual Plan for Fiscal Year (FY) 2012, and authorizes the Executive Director to submit said Plan to the U.S. Department of Housing and Urban Development.

Signed: _____

Gary Gentry

Chairperson, Board of Commissioners

Date: October 12, 2011

I, Herbert T. Brown, Secretary to the Board of Commissioners of the Housing Authority of the City of Trenton, hereby certify that at a meeting of the Board of Commissioners held on October 12, 2011, the above resolution was duly approved.

Signed: _____

Herbert T. Brown

Secretary to the Board of Commissioners

Date: October 12, 2011